

PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## **TRANSMITTAL FORM**

(to be used for all correspondence after initial filing)

Application Number	10/028,101 10/028,010
Filing Date	12/21/2001
First Named Inventor	Soltis, Steven R.
Group Art Unit	2122 MAR 2 8 2002
Examiner Name	Technology Center 2100
Attaman Daalat Numban	0451

Total Number of Pages in This Subm	nission Attorney Docket Number	er 2451
	ENCLOSURES (check	k all that apply)
Fee Transmittal Form Fee Attached  Amendment / Reply After Final Affidavits/declaration(s)  Extension of Time Request  Express Abandonment Request  Information Disclosure Statement Certified Copy of Priority Document(s)  Response to Missing Parts/ Incomplete Application  Response to Missing Parts under 37 CFR 1.52 or 1.53	Assignment Papers (for an Application)  Drawing(s)  Licensing-related Papers  Petition  Petition to Convert to a Provisional Application  Power of Attorney, Revocation Change of Correspondence Address  Terminal Disclaimer  Request for Refund  CD, Number of CD(s)  Remarks	After Allowance Communication to Group Appeal Communication to Board of Appeals and Interferences Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) Proprietary Information Status Letter Other Enclosure(s) (please identify below): Copies of Cited References and Return Postcard
SIGNATI	JRE OF APPLICANT, ATTORNEY, OR	AGENT
Firm or Individual name  Beck & Tysve	Dip	
Date 3-22-07	<u> </u>	
	CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being mail in an envelope addressed to: Commissioner		

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Mary S. Keller

Typed of printed name

Signature

Please type a	plus sign	(+) inside	this box	∹
---------------	-----------	------------	----------	---

1

of

3

PTO/SB/08A (10-96)
Approved for use through 10/31/99. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

2451

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Compl te if Kn wn Substitute for form 1449A/PTO **Application Number** 10/028,101 INFORMATION DISCLOSURE 12/21/2001 Filing Date STATEMENT BY APPLICANT **First Named Inventor** Soltis, Steven R. 2122 Group Art Unit (use as many sheets as necessary) **Examiner Name** Technology Center 2100

Attorney Docket Number

Sheet

				U.S. PATENT DOCU	MENTS	
Examiner Initials	Cite No.1	U.S. Patent Number	Document Kind Code <sup>2</sup> (if known)	Name of Patentee or Applicant	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
F:		5,043,876		Terry	08-27-1991	all
[		5,561,799		Khalidi et. al.	10-01-1996	all '
		5,652,913		Crick et al.	07-29-1997	all
~ . 7		5,668,958		Bendert et al.	09-16-1997	all
	-	5,828,876		Fish et al.	10/27/1999	all
		5,978,773		Hudetz et al.	11/2/1999	all
		5,909,540		Carter et al.	6/1/1999	all
		5,764,972		Crouse et al.	6/9/1998	all
		5,909,540		Carter et al.	6/1/1999	all
<u> </u>		5,931,918		Row et al.	8/3/1999	all
		5,987,621		Duso et al.	11/16/1999	all
		5,933,603		Vahalia et al.	8/3/1999	all
				/		
					,	

				FORE	IGN PATENT DOCUMENTS	S		
Examiner Initials*	Cite No.1	Office <sup>3</sup>	oreign Patent Do Number <sup>4</sup>	cument Kind Code <sup>5</sup> (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Fiqures Appear	T <sup>6</sup>
				$\longrightarrow$		<del> </del>		₋
<u> </u>							<del></del>	+
		<del>  </del>						+
$\vdash$		$\vdash$		-   -				┼
		<del>    -</del>						

	_		
Examiner	Da	ate	
Signature	Co	onsidered	

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation in on tin conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

	_	٠.
Please type a plus sign (+) inside this box 🔾	+	ı

2

PTO/SB/08B (10-96)
Approved for use through 10/31/99. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

C mplet if Kn wn

Application Number 10/028,101

Filling Date 12/21/2001

First Named Inventor Soltis, Steven R.

(use as many sheets as necessary)

of

3

Application Number 10/028,101

Filing Date 12/21/2001

First Named Inventor Soltis, Steven R.

Group Art Unit 2122

Examiner Name

Attorney Docket Number 2451

<u>Technology Center 2100</u>

		Technologic	A1
		OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS	_
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
		T. ANDERSON, M. DAHLIN, J. NEEFE, D. PATTERSON, D. ROSELLI, and R. WANG, "Serverless Network File System," Proceedings of the Fifteenth ACM Symposium on Operating System Principles, 1995, The Association for Computer Machinery (ACM) Press, New York, NY USA.	
		M. DEVARAKONDA, A. MOHINDRA, J. SIMONEAUX, and W. TETZLAFF, "Evaluation of Design Alternatives for a Cluster File System," 1995 USENIX Technical Conference on UNIX and Advanced Computing Systems, Jan 1995, pp. 35-46, USENIX Association, Berkeley, CA USA.	
		G. GIBSON, D. NAGLE, K. AMIRI, F. CHANG, H. GOBIOFF, E. RIEDEL, D. ROCHBERG, and J. ZELENKA, "File Server Scaling with Network-Attached Secure Disks," Proceedings of the ACM International Conference on Measurements and Modeling of Computer Systems, June 1997, The Association for Computer Machinery (ACM) Press, New York, NY USA	
		G. GIBSON, D. NAGLE, K. AMIRI, F. CHANG, E. FEINBERG, H. GOBIOFF, C. LEE, B. OZCERI, E. RIEDEL, D. ROCHBERG, and J. ZELENKA, "Filesystems for Network-Attached Secure Disks," Carnegie Mellon University Technical Report CMU-CS-97-118, July 1997, Carnegie Mellon University, Pittsburgh, PA USA.	
		J. HEIDEMANN and G. POPEK, "File System Development with Stackable Layers," ACM Transaction on Computer Systems, 1994, pp. 58-89, The Association for Computer Machinery (ACM) Press, New York, NY USA.	
		Y. KHALIDI and M. NELSON, "Extensible File Systems in Spring", Sun Microsystems Laboratories Technical Report TR-93-18, September 1993, Sun Microsystems Laboratories, Inc., Mountain View, CA USA.	
		S. KLEIMAN, "Vnodes: An Architecture for Multiple File System Types in Sun UNIX," Proceedings of the Summer USENIX Conference, June 1986, pp. 238-247, USENIX Association, Berkeley, CA USA.	
		K. MATTHEWS, "Implementing a Shared File System on a HIPPI Disk Array," Fourteenth IEEE Symposium on Mass Storage Systems, 1995, pp. 77-88, Institute of Electrical and Electronics Engineers, Inc., Piscataway, NJ USA.	
		J. OUSTERHOUT, A. CHERENSON, F. DOUGLIS, M. NELSON, and B. WELCH, "The Sprite Network Operating System, IEEE Computer, Feb 1988, pp. 23-36, Institute of Electrical and Electronics Engineers, Inc., Piscataway, NJ USA.	
		B. PAWLOWSKI, C. JUSZCZAK, P. STAUBACH, C. SMITH, D. LEBEL, and D. HITZ, "NFS Version 3: Design and Implementation," Proceedings of the Summer USENIX Conference, 1994, USENIX Association, Berkeley, CA.	
		D. ROSENTHAL, "Evolving the Vnode Interface," Proceedings of the Summer USENIX Conference, June 1990, pp. 107-117, USENIX Association, Berkeley, CA USA.	

Examiner	Date	9
Signature	Considered	 

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Please type a plus sign (+) inside this box	→	1
. loade type a piece eight ( ) mende and sen	~	1 +

PTO/SB/08B (10-96)
Approved for use through 10/31/99. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Attorney Docket Number

Substituto	for for	m 1449F	/PTO

3

Sheet

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary) of

3

C mplete if Kn wn 10/028,101 **Application Number** 12/21/2001 Filing Date First Named Inventor Soltis, Steven R. 2122 Group Art Unit **Examiner Name** 

2451

<u>/</u>		Tochnology V	VIII
_		OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS	
Examiner Initials	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
		R. SANDBERG, D. GOLDBERG, S. KLEIMAN, D. WALSH, and B. LYON, "Design and Implementation of the Sun Network File System," Proceedings of the Summer USENIX Conference, 1985, pp. 119-130, USENIX Association, Berkeley, CA USA.	
		M. SATYANARAYANAN, "Scalable, Secure, and Highly Available Distributed File Access," IEEE Computer, May 1990, pp. 9-20, Institute of Electrical and Electronics Engineers, Inc., Piscataway, NJ USA.	
		M. SATYANARAYANAN, "Code: A Highly Available File System for a Distributed Workstation Environment," Proceedings of the Second IEEE Workshop on Workstation Operating Systems, Sept 1989, Institute of Electrical and Electronics Engineers, Inc., Piscataway, NJ USA.	
		S. SOLTIS, The Design and Implementation of a Distributed File System base on Shared Network Storage. PhD Thesis, University of Minnesota, 1997, University of Minnesota, Minneapolis, MN USA.	
		D. WILTZIUS and K. MINUZZO, "Network-attached peripherals (NAP) for HPSS/SIOF," Lawrence Livermore National Laboratory Technical Report, 1995. Available at http://www.llnl.gov/liv_comp/siof/siof_nap.html, Livermore, CA USA.	

Examiner Date Signature Considered

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.